



To enhance mission performance, TSA is committed to promoting a culture founded on its values of Integrity, Innovation, and Team Spirit.

REVISION: This revised directive supersedes TSA MD 200.7, *Records Management*, dated January 8, 2016.

SUMMARY OF CHANGES: Section 3, Authorities, updated and added Electronic Records Act; Section 4, Definitions, updated definitions; Section 5, Responsibilities, added Senior Agency Official and updated all remaining items to reflect current TSA records management responsibilities; Section 6, Policy, updated item G (SAVs) and moved item H to Procedures; and Section 7, Procedures, updated to add a hyperlink to the Records Handbook.

1. **PURPOSE:** This directive provides TSA policy and procedures for the agency's Records Management Program.
2. **SCOPE:** This directive applies to all TSA employees, and contractors with regard to handling TSA records, regardless of format or medium, from creation or receipt to destruction or retirement for permanent safekeeping.
3. **AUTHORITIES:**
 - A. 44 U.S.C. 3101 – Records Management by Agency Heads; General Duties
 - B. 44 U.S.C. 3102 – Establishment of Records Management Program
 - C. DHS and TSA Directives and Policies:
 - (1) DHS Directive 141-01, Records and Information Management
 - (2) TSA Directive 200.9 Vital Records Program
 - D. Other Laws and Regulations:
 - (1) Title 18, U.S.C. 2071, establishes criminal penalties for the unlawful concealment, removal, or destruction of Federal records
 - (2) Title 36 CFR, Parts 1220 through 1238, contain National Archives and Records Administration (NARA) regulations that affect the records management program of Federal agencies
 - (3) Presidential Memorandum (M-12-18) – Managing Government Records Directive (8/24/2012), provides guidance and timelines for the heads of executive departments and agencies regarding federal records management

- (4) National Security Presidential Directive (NSPD 51)/Homeland Security Presidential Directive (HSPD 20)
- (5) Executive Order 12958, Classified National Security Information
- (6) Office of Management and Budget (OMB) Circular A-130, Management of Federal Information Resources
- E. Public Law 107-347, The E-Government Act of 2002
- F. [The Federal Records Act of 1950](#), codified at 44 U.S.C. Chapters 21, 29, 31 and 33, establishes the framework for records management programs in Federal agencies. Agencies must “make and preserve records containing adequate and proper documentation of the organization, functions, policies, decisions, procedures, and essential transactions of the agency,” and must “establish and maintain an active, continuing program for the economical and efficient management of the records of the agency.” Furthermore, agencies may not destroy records except in accordance with the procedures in 44 U. S. C. Chapter 33

4. DEFINITIONS:

- A. Approving Official: A senior management official designated by the head of TSA, or his/her designee, with authority to approve actions for a TSA Headquarters (HQ) Office (e.g., Administrator, Deputy Administrator, Assistant Administrators, Federal Security Directors, Assistant Federal Security Directors, or equivalents).
- B. Classified Records: Records or information requiring, for national security reasons, safeguards against unauthorized disclosure.
- C. Electronic Records: Numeric, graphic, and text information which may be recorded on any medium capable of being read by an electronic device, and which satisfies the definition of a record. This includes, but is not limited to, magnetic media, such as tapes and disks, and optical disks. Unless otherwise noted, records management requirements apply to all electronic information systems, whether on microcomputers, minicomputers, or mainframe computers, regardless of storage media, in network or stand-alone configurations. (26 CFR 1234.1)
- D. File Plan: A document “road map” containing information about an office’s files that may be used along with, or instead of, the Comprehensive Records Schedule. A File Plan contains information such as the records series or file titles, a brief description of the records, location(s), and disposition instructions. The File Plan provides a standardized records classification scheme based on the specific functions of an organization, office, division or branch. A File Plan improves filing, enhances access and retrieval, and supports the use of Records Disposition Schedules.

- E. General Records Schedule (GRS): Issued by the Archivist of the United States under the authority of 44 U.S.C. 3303a(d) to provide agencies with disposition authority for records common to several or all agencies of the Federal Government. The GRS refers to the entire set of schedules, but GRS is commonly used to refer to a single schedule within the whole. These schedules authorize, after specified periods of time, the destruction of temporary records or transfer of permanent records to the National Archives and Records Administration of the United States (NARA).
- F. Permanent Records: Records appraised by NARA as having sufficient historical value to warrant its preservation in the National Archives of the United States.
- G. Records Disposition Schedule: The document that describes agency records, establishes retention periods, and provides mandatory instructions and corresponding authorities for the disposition (i.e., destruction, deletion and/or transfer for permanent retention) of agency records (and non-record materials) no longer needed for current Government business. The Records Disposition Schedule must be approved by NARA before implementation. It is arranged by subject with corresponding Series and Sub-series numbers. Also referred to as a Records Schedule, Records Disposition Schedule, Records Control Schedule, Records Retention Schedule, Records Retention and Disposition Schedule, or simply Schedule.
- H. Records: Pursuant to 44 USC 3301, the term: “includes all recorded information, regardless of form or characteristics, made or received by a Federal agency under Federal law or in connection with the transaction of public business and preserved or appropriate for preservation by that agency or its legitimate successor as evidence of the organization, functions, policies, decisions, procedures, operations, or other activities of the United States Government or because of the informational value of data in them; and does not include library and museum material made or acquired and preserved solely for reference or exhibition purposes; or duplicate copies of records preserved only for convenience.”
- I. Records Liaison: A TSA employee appointed by an Approving Official above the division level, via [TSA Form 230, Records Liaison Appointment](#), with authority to serve as a designated representative and liaison contact for their respective HQ Office or field location (e.g., Airport, Mission Support Center, etc.) regarding records management activities and issues. Records Liaisons, in coordination with guidance provided by the Information Management Programs Section (IMPS), assist with the organizing and maintaining an of an office’s records and ensures that recordkeeping best practices are followed. Acts as point of contact for, and provides guidance to, Records Custodians at the Division level and below.
- J. Records Custodian: A TSA employee appointed by their functional area/office-of-record’s Director or decision-making official, via [TSA Form 230, Records Liaison Appointment](#), to manage records at the Division level and below in HQ Offices and field locations.

- K. Records Management: The planning, controlling, directing, organizing, training, promoting, and other managerial activities involved with respect to records creation, records maintenance and use, and records disposition in order to achieve adequate and proper documentation of the policies and transactions of the Federal Government; and effective and economical management of agency operations.
- L. Temporary Records: Records approved by the Archivist of the United States for disposal, either immediately or after a specified retention period.
- M. Unscheduled Records: Records whose final disposition has not been approved by NARA. Unscheduled records are potentially permanent and must be maintained as permanent records until the records have been appraised and scheduled with NARA. Unscheduled records may not be destroyed or deleted. You may find unscheduled records when new programs are created or new systems developed.
- N. Vital Records: Records essential to support the agency's continued functioning or reconstitution in the event of an emergency. Vital Records contain critical information needed to re-establish the organization that could not be replaced at any cost, or whose loss or destruction would result in grave business consequences, such as loss of customer base or production capability. Vital Records also include records essential to protecting the rights and interests of that organization and of the individuals directly affected by its activities. Generally, only three to seven percent of an agency's information is considered a Vital Record.

5. RESPONSIBILITIES:

- A. The Chief Information Officer (CIO) is responsible for:
 - (1) Directing, coordinating, controlling, and ensuring the adequacy of TSA plans and programs for Information Management Programs Section (IMPS).
 - (2) Designating and exercising an individual to serve as TSA's Agency Records Officer (ARO), including its immediate oversight of the records management program.
 - (3) Ensuring that records management requirements are considered and addressed prior to approval and deployment of agency information technology systems and resources.
 - (4) Reviewing procedures established thru the ARO that address records management requirements, including recordkeeping requirements and disposition, before approving new media and technology for conducting official business. Such media and technology may include electronic mail, optical images, electronic and digital signatures, wireless communication, and others.

B. Senior Agency Official (SAO) is responsible for:

- (1) Leading, planning, guiding, and providing general oversight of records management for the TSA, and its incorporation into the broader information resources management framework.
- (2) Implementing a records management program that is consistent with statutory and regulatory requirements, and TSA directives, policies and procedures.
- (3) Coordinating records management issues with other federal agencies, including federal oversight agencies such as the Office of Management and Budget, National Archives and Records Administration (NARA), and the General Services Administration.
- (4) Providing on-going evaluations of the TSA records management program to assess its effectiveness.

C. Approving Officials are responsible for:

- (1) Ensuring that their organizations manage records in accordance with established Records Management policy and procedures, to include identification of vital records.
- (2) Appointing a Records Liaison to manage the Records Management Program within their HQ Office or field location via [TSA Form 230](#).
- (3) Ensuring that Division-level managers assign Records Custodians sufficient to cover Records Management needs for every functional area.
- (4) Ensuring that Division-level managers cancel the appointment of a Records Liaison and/or Records Custodian when no longer performing assigned records management duties by completing and submitting a new TSA Form 230 to IMPS indicating cancellation of appointment.

D. The Information Management Programs Section (IMPS), led by the Agency Records Officer (ARO) is responsible for:

- (1) Maintaining a records management program for the efficient management and control of all TSA records in accordance with applicable laws and regulations.
- (2) Developing agency-wide policies, procedures, and related communications involving records management programs and activities.
- (3) Developing and implementing a training program that will complement a supplement existing agency, NARA, and other records management training programs.

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- (5) Providing agency oversight, review and evaluation of records management activities, including managing the Staff Assistance Visit (SAV) program to monitor and assess the agency's Records Management program, to include the field offices.
 - (6) Obtaining the approval of the Archivist of the United States for records disposition schedules for TSA records.
 - (7) Providing records management technical direction and administrative guidance to Records Liaisons, and ensuring all other assigned records management personnel are trained accordingly.
 - (8) Developing and implementing a Vital Records program in accordance with 36 CFR Part 1236. Managing the identification and organization of TSA Vital Records and the individual office's Vital Records Plans to be provided to TSA's Continuity of Operations Plan Manager.
- E. Records Liaisons are responsible for:
- (1) Complying with records management guidance and direction provided by the ARO/IMPS, including completion of agency records management training for all TSA employees.
 - (2) Promoting established TSA standards and guidelines to carry out the scope, mission, and objectives of the program.
 - (3) Providing basic technical assistance and guidance within their respective HQ Offices and/or field locations to ensure that records management activities throughout the offices are consistent with this Directive and corresponding guidance.
 - (4) Ensuring identification and organization of Vital Records in accordance with [TSA MD 200.9, *Vital Records Program*](#).
 - (5) Acting as point of contact for Records Custodians in subordinate HQ Divisions and below, and field location offices.
- F. Records Custodians are responsible for:
- (1) Ensuring that all personnel in their area of responsibility are aware of the definition of a Federal Record and their responsibility to ensure that any records created or received by any individual in their office is handled appropriately.
 - (2) Creating and maintaining a file plan via [TSA Form 233, *File Plan*](#), approved by the office's manager and TSA's Records Officer. This file plan provides a corresponding records structure, physical and/or electronic.

(3) Ensuring records are managed in accordance with TSA's disposition schedule.

G. The Chief Counsel is responsible for:

- (1) Providing legal review of proposed records disposition schedules.
- (2) Providing legal guidance regarding requests to disclose agency records.
- (3) Providing to IMPS a copy of any records hold notices received by the agency, and all notices that terminate or lift any hold currently in place.

H. The Privacy Officer is responsible for:

- (1) Establishing the policies for and overseeing the proper handling of record and non-record material containing Personally Identifiable Information (PII).
- (2) Examining new or updated records systems for privacy considerations.

I. The Assistant Administrator for Acquisition is responsible for ensuring that records management requirements are properly addressed and approved in all agreements and contracts necessary to ensure that agency records are accounted for, safeguarded, and assigned proper legal custody and controls in accordance with Federal Acquisition Regulatory Part 4 requirements.

J. The Chief Security Officer is responsible for providing TSA Information Security (INFOSEC) policy for classified records in coordination with IMPS for records management considerations.

K. The Freedom of Information Act (FOIA) Branch is responsible for providing guidance and process necessary to facilitate timely and accurate searches for FOIA requests and Agency compliance with the FOIA and for final decisions on release ability for withholding of official documents in FOIA requests.

L. The Continuity of Operations Plan Manager (COOP Manager) is responsible for incorporating Vital Records in planning to ensure availability of essential records needed to meet operational responsibilities under national security emergencies or other emergency conditions.

M. Employees and agency contractors are responsible for ensuring that records created or received are identified, safeguarded, and appropriately handled in accordance with this directive and records disposition instructions. They are to maintain personal papers and non-record materials separately from official TSA records.

6. POLICY:

A. TSA shall maintain an active, continuing program of management for the economical and efficient handling of agency records.

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- B. TSA shall create and preserve records, regardless of format or medium, that document functions, policies, decisions, procedures, essential transactions of the agency, and protect the legal and financial rights of the Government and persons directly affected by its activities.
- C. TSA shall make reasonable efforts to maintain records in formats or media that are reproducible for purposes of the FOIA and other records search requirements.
- D. TSA shall cooperate with NARA in applying standards, procedures, and techniques which improve the management of records, promoting the maintenance of those records with continuing value, and facilitating the segregation and disposal of temporary records.
- E. TSA shall enforce that all TSA records, regardless of media or format, shall be maintained, secured, and handled in accordance with applicable laws and regulations.
- F. TSA shall use a NARA Federal Records Center (FRC) or a NARA compliant approved facility for records storage when appropriate storage is unavailable. The ARO must approve all requests for alternative records storage.
- G. Staff Assisted Visits (SAV) shall be conducted annually, by IMPS, at the HQ Office/field location level, ensuring that Records Liaisons develop and implement internal SAV/self-assessment programs. Field locations may conduct self-assessments in lieu of an IMPS visit. IMPS will generate and submit SAV reports to the CIO for approval and forwarding to the appropriate Assistant Administrator on an annual basis to include field offices. In the event that IMPS cannot conduct a SAV at field locations, Records Liaisons will generate SAV reports, submit them to the Federal Security Director for approval and then forward to the CIO thru IMPS.

7. PROCEDURES: Reference TSA's Disposition Schedule at the [Records Management Program](#) page, or coordinate with a respective Records Liaison or Records Custodian for more specific guidance.

- A. TSA employees should reference TSA's Disposition Schedule at the Records Management Program page, or coordinate with a respective Records Liaison or Records Custodian for more specific guidance on records retention and disposition.
- B. All agency records will be identified. Reference TSA [Records Disposition Schedule](#) for guidance pertaining to identification and use of record disposition schedule series numbers in marking and filing records.
- C. File Plan: Every HQ Office and field location will each have a file plan for the most efficient and effective management of records. Subordinate offices (Divisions and below) may create their own file plans or have their records incorporated into a higher office's file plan. Every office of record at TSA will have records listed on [TSA Form 233](#) to reflect all records created or received within that office. File plans will be updated annually.

- D. Records Handling: All records will be organized and held within a formal file structure (the file must allow for quick and easy retrieval, and meet the criteria for the classification of the document, physical or electronic, corresponding to those listed on the file plan). Please reference the [TSA Records Handbook](#) for guidance on file structures.
- E. New Records Disposition Scheduling: For records identified that do not already have a corresponding TSA record series and disposition or applicable GRS, the appropriate Records Liaison must submit new disposition scheduling requests via [TSA Form 285, Records Scheduling Request](#) to IMPS. Pending approval from NARA, all proposed and/or currently-unscheduled records are to be considered permanent and must not be destroyed.
- (1) Records Transfers: Contact IMPS for clearance and approval prior to using non-FRCs for agency records transfer and storage to ensure agency compliance with NARA notification and reporting requirements.
- (2) AVs: IMPS will generate and submit SAV reports to the CIO for approval and forwarding to the appropriate Assistant Administrator. In the event that IMPS cannot conduct a SAV at field locations, Records Liaisons will generate SAV reports, submit them to the Federal Security Director for approval and then forward to CIO through IMPS.
- 8. APPROVAL AND EFFECTIVE DATE:** This policy is approved and effective the date of signature unless otherwise specified.

APPROVAL

Signed

January 13, 2017

Stephen W. Rice
Assistant Administrator for Information
Technology/Chief Information Officer

Date

EFFECTIVE

Date

Distribution: Assistant Administrators and equivalents, Business Management Office
Directors, and Records Liaison Officers

Point-of-Contact: IMPS, TSARecords@tsa.dhs.gov and respective TSA Headquarters
Office/field location/Airport Records Liaison Officers